



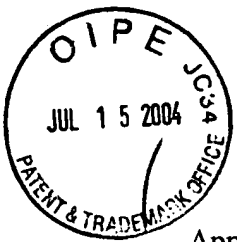
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| TRANSMITTAL FORM (to be used for all correspondence after initial filing) | Application Number | 10/823,169 |
| | Filing Date | April 13, 2004 |
| | First Named Inventor | GAO |
| | Group Art Unit | 1713 |
| | Examiner Name | NA |
| Total Number of Pages in This Submission | Attorney Docket Number | 10013.0004US |

| ENCLOSURES (check all that apply) | | |
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| <input type="checkbox"/> Fee Transmittal Form (in duplicate) | <input type="checkbox"/> Assignment Papers (for an Application) | <input type="checkbox"/> After Allowance Communication to Group |
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| <input checked="" type="checkbox"/> Information Disclosure Statement | <input type="checkbox"/> Request for Refund | 2. PTO Form 1449 (2 pages) |
| <input type="checkbox"/> Certified Copy of Priority Document(s) | <input type="checkbox"/> CD, Number of CD(s) | 3. References (2 GB patents and references AA to AV). |
| <input type="checkbox"/> Response to Missing Parts/ Incomplete Application | Remarks | |
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| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT | |
|--|--|
| Firm or Individual Name | Greg S. Hollrigel Registration No. 45,374 |
| Signature | |
| Date | July 13, 2004 |

| CERTIFICATE OF TRANSMISSION/MAILING | | | |
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| I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop AMENDMENT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below. | | | |
| Typed or printed name | Greg S. Hollrigel | | |
| Signature | | Date | July 13, 2004 |



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. : 10/823,169
Applicant : GAO et al.
Filed : April 13, 2004
Title : NOVEL METALLOCEANES AND PROCESSES FOR THEIR
PREPARATION

TC/A.U. : 1700/1713
Examiner : NA

Docket No. : 10013.0004US

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| Date: | <u>7/13/04</u> |
| By: | <u>Greg S. Hollrigel</u> |
| Greg S. Hollrigel | |

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. 1.97(b)(1)

Dear Sir:

Applicant wishes to call to the attention of the Examiner the documents cited on the accompanying Form PTO-1449. Copies of these references are enclosed herewith. This communication is being submitted under 37 C.F.R 1.97(b)(1). No fee is due regarding this communication.

Application No.: 10/823,169

Applicant: GAO et al.

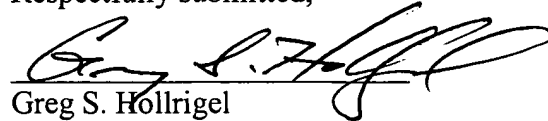
Filed: April 13, 2004

Page 2 of 4

No concession is made that these documents are prior art, and applicant expressly reserves the right to antedate the documents as may be appropriate. Applicant requests that each of these documents be made of record in the above-identified application.

Date: 7/13/04

Respectfully submitted,



Greg S. Hollrigel

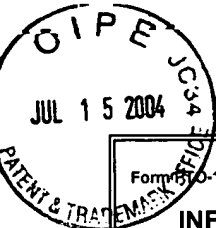
Registration No. 45,374

Stout, Uxa, Buyan & Mullins, LLP

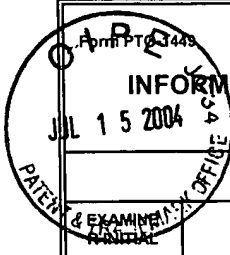
4 Venture, Suite 300

Irvine, California 92618

Telephone: 949-450-1750



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| Form PTO-1449 | | | Docket No.: 10013.0004US | | Application No.: 10/823,169 | |
| INFORMATION DISCLOSURE CITATION IN AN APPLICATION (Use several sheets if necessary) | | | Applicant: GAO et al. | | | |
| | | | Filing Date: April 13, 2004 | | Group Art Unit: NA | |
| U. S. PATENT DOCUMENTS | | | | | | |
| EXAMINER R INITIAL | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
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| FOREIGN PATENT DOCUMENTS | | | | | | |
| | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION YES NO |
| | 767,298 | 1957 | GB | | | |
| | 896,391 | 1962 | GB | | | |
| OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.) | | | | | | |
| | AA | Younkin et al., "Neutral, Single-Component Nickel (II) Polyolefin Catalysts That Tolerate Heteroatoms", Science, 287:460-462, (2000) | | | | |
| | AB | Togni et al., "Volume 1, Synthesis and Reactivity", Metallocenes, Chapter 1; Wiley, NY (1998) | | | | |
| | AC | Togni et al., "Volume 2, Applications", Metallocenes, Chapter 11, Wiley, NY (1998) | | | | |
| | AD | Que Jr. et al., "Dioxygen Activation by Enzymes with Mononuclear Non-Heme Iron Active Sites", Chem Rev., 96:2607-2624, (1996) | | | | |
| | AE | Wallar et al., "Dioxygen Activation by Enzymes Containing Binuclear Non-Heme Iron Clusters", Chem Rev., 96:2625-2657, (1996) | | | | |
| | AF | Kappock et al., "Pterin-Dependent Amino Acid Hydroxylases", Chem Rev., 96:2659-2756, (1996) | | | | |
| | AG | Sono et al., "Heme-Containing Oxygenases", Chem Rev., 96:2841-2887, (1996) | | | | |
| | AH | Sharp et al., "Electrochemistry in Liquid Sulfur Dioxide. 4. Electrochemical Production of Highly Oxidized Forms of Ferrocene, Decamethylferrocene, and Iron Bis(tris(1-pyrazolyl)borate); Inorg. Chem. Vol 22:2689-2693, (1983) | | | | |
| | AI | Gale et al., "Metallocene Electrochemistry I. Evidence for Electronic Stabilization with Alkylated Cyclopentadiene: Electrochemical Synthesis of DecaMethylferricinium Dication", J. of Organometallic Chemistry 199:C44-C46, (1980) | | | | |
| | AJ | Wilson et al., "The Existence of the Nickel (IV) Dication Derived from Nickelocene and a Cationic Boron Hydride Analog", J. of American Chem. Society, 91:3:758-759 (1/29/1969) | | | | |
| | AK | Kuwana et al., "Chronopotentiometric Studies on the Oxidation of Ferrocene, Ruthenocene, Osmocene and Some of their Derivatives", J. Am. Chem. Soc. 82:5811-5817, (1960) | | | | |
| | AL | March & Smith, "Transmetalation with a Metal Halide", Advanced Organic Chemistry, 5th ed., Wiley-InterScience, 803-804 | | | | |
| | AM | Fukuzawa, "Optically Active 1,2-Bis(1-arylhydroxymethyl) Ferrocene: A new, efficient chiral ligand for scandium-catalyzed asymmetric diels-alder reaction", Organic Letters 4:707-709 (2002) | | | | |
| EXAMINER | | | DATE CONSIDERED | | | |
| EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant. | | | | | | |

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|  <p>INFORMATION DISCLOSURE CITATION IN AN APPLICATION (Use several sheets if necessary)</p> | | Docket No.: 10013.0004US | | Application No.: 10/823,169 | | |
| | | Applicant: GAO et al. | | | | |
| | | Filing Date: April 13, 2004 | | Group Art Unit: NA | | |
| U. S. PATENT DOCUMENTS | | | | | | |
| | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
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| FOREIGN PATENT DOCUMENTS | | | | | | |
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| OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.) | | | | | | |
| | AN | Nicolosi et al., "Lipase mediated desymmetrization of 1,2-Bis(hydroxymethyl)ferrocene in Organic Medium: Production of Both Enantiomers of 2-Acetoxymethyl-1-hydroxymethylferrocene", Tetrahedron: Assymetry 3:753-758 (1992) | | | | |
| | AO | Vos et al., "Synthesis of Tetra-3-butenyl-Substituted Metallocenes and the Application of 1,1',3,3'-Tetrakis(1,1-dimethyl-3-butenyl)ferrocene as Core for the preparation of polynuclear compounds", Organometallics 19:3874-3878(2000) | | | | |
| | AP | Broussier et al., "New 1,1'- or 1,2- or 1,3-bis(diphenylphosphino)ferrocenes", J. Organometallic Chem. 598:365-373 (2000) | | | | |
| | AQ | March & Smith, Advanced Organic Chemistry, 5th ed. Wiley-InterScience, 1056-1057 | | | | |
| | AR | Yu et al., "Synthesis, characterization and in vitro antitumor activity of some arylantimony ferrocenylcarboxylate derivatives and the crystal structures of [C ₅ H ₅ FeC ₅ H ₄ C(CH ₃)=CHCOO] ₂ Sb(C ₆ H ₄ F-4) ₃ and [4-(C ₅ H ₅ FeC ₅ H ₄)C ₆ H ₄ COO] ₂ Sb(C ₆ H ₄ F-4) ₃ ", Polyhedron, 23:823-829 (2004) | | | | |
| | AS | Kovjazin et al., "Ferrocene-induced lymphocyte activation and antitumor activity is mediated by redox-sensitive signaling", The FASEB Journal, 10.1096/fj.02-0558fje (2003) | | | | |
| | AT | Tabbi et al., "Water Stability and Cytotoxicity Activity Relationship of a Series of Ferrocenium Derivatives. ESR Insights on the Radical Production during the Degradation Process., J. Med. Chem. 45:5786-5796 (2002) | | | | |
| | AU | Osella et al., "On the mechanism of the antitumor activity of ferrocenium derivatives" Inorganica Chimica Acta. 306:42-48 (2000) | | | | |
| | AV | Houlton et al., "Studies on the anti-tumour activity of some iron sandwich compounds", J. Organometallic Chemistry, 418:107-112 (1991) | | | | |
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| <small>EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to the applicant.</small> | | | | | | |